

4 SEP 1979

MEMORANDUM FOR: Deputy to the DCI for Resource Management
Deputy to the DCI for Collection Tasking

FROM : Harry E. Fitzwater
Director of Personnel

SUBJECT : New Performance Appraisal System

1. The Deputy Director of Central Intelligence will meet with all supergrades in the auditorium on Thursday, 27 September, at 1400 hours to introduce the first of a series of mandatory briefings for supervisors on the new Performance Appraisal System. Please inform all senior officers and ask them to be seated by 1355 hours.

2. Briefings for all supervisors below supergrade level will begin 1 October. A schedule is attached. Your senior personnel officer will monitor attendance.

Harry E. Fitzwater

Harry E. Fitzwater

Attachment

Distribution:

Orig - D/DCI/RM
1 - D/DCI/CT
2 - D/Pers
1 - OP/PMES

STATINTL

OP/PMES/ [REDACTED] :cmc (31 Aug 79)

PERFORMANCE APPRAISAL BRIEFINGS

Monday	-	1 October	-	1400 hours
Tuesday	-	2 October	-	1000 hours
Wednesday	-	3 October	-	1400 hours
Friday	-	5 October	-	1000 hours
Thursday	-	11 October	-	1400 hours
Monday	-	15 October	-	1400 hours

All sessions will be held in the Headquarters Auditorium and will last approximately one hour.

Subject File

MEMORANDUM FOR: DD/Pers/P&C

FROM : Harry E. Fitzwater
Director of Personnel

SUBJECT : Performance Appraisal Handbook

Mary,

STATINTL

I want to commend you and [REDACTED] for the excellent job done in preparing the subject Handbook. It appears to be very complete and should be very helpful in preparing the AWP and PAR. Thanks!

Signed

Harry E. Fitzwater

STATINTL

Distribution:

Orig - 1 - Addressee

1 - PMES [REDACTED]

1 - D/Pers Chrono

1 - HEF Chrono

D/Pers/HEFitzwater:rj (29 June 79)

STATINTL

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DRAFT

PERFORMANCE APPRAISAL HANDBOOK

June 1979

PERFORMANCE APPRAISAL HANDBOOK

CONTENTS

	<u>Page</u>
1. POLICY	1
2. PREPARING THE PERFORMANCE APPRAISAL REPORT (PAR)	3
3. PREPARING THE ADVANCE WORK PLAN (AWP)	5
4. A CHECKLIST FOR PERFORMANCE APPRAISAL INTERVIEWS	7
5. TIPS FOR APPRAISAL INTERVIEWS.	9
6. FOLLOW-UP TO THE PERFORMANCE APPRAISAL REPORT.	11
7. PREPARING THE EVALUATION OF POTENTIAL.	13
8. APPENDIX	
A. PERFORMANCE APPRAISAL PACKAGE	
B. WHERE TO GO FOR ASSISTANCE	

POLICY

A properly administered performance appraisal program requires continuing communication and understanding between supervisor and employee to evaluate performance of individual job responsibilities, the achievement of organizational objectives, and progress toward career development goals. During the course of the reporting period the supervisor should have frequent work-related conversations with the employee to offer guidance and encouragement and to discuss the assignment and status of performance.

Supervisors are required to develop Advance Work Plans and to record performance appraisals and evaluations of potential at least once a year. The Performance Appraisal Package, Form 45, is used for this purpose. The package contains a Performance Appraisal Report (PAR); an Advance Work Plan (AWP); and an Evaluation of Potential. Instructions are provided with each package.

A memorandum is no longer permitted in lieu of Form 45 for employees GS-14 or above. A Performance Appraisal Report, Advance Work Plan, and Evaluation of Potential will be completed on all employees through grade GS-18.

Submission

The original copy of the PAR will be forwarded to the Office of Personnel through the Head of the Career Service concerned, with one copy to be retained by the Career Service. The AWP for the period covered by the appraisal should be attached before forwarding.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

<u>Grade</u>	<u>End of Reporting Period</u>	<u>Due in Office of Personnel</u>
GS 01-05	31 March	30 April
GS-06	31 January	28 February
GS-07 and 08	31 December	31 January
GS-09 and 10	30 September	31 October
GS-11	31 August	30 September
GS-12	31 July	31 August
GS-13	30 June	31 July
GS-14	30 April	31 May
GS-15 and above	31 March	30 April

A PAR will be prepared annually for each employee, except when a report has been submitted for some other purpose during the 90 days preceding the end of the reporting period. An annual report may be delayed until the employee has been under the supervisor's jurisdiction for 90 days.

Enforcement

Reviewing officials will return incomplete or inconsistent reports to rating officers for corrective action before signing the report. The reviewer's signature certifies that the report meets all the requirements of the performance appraisal system.

Career Services are responsible for a monitoring system to insure that the principles of the performance appraisal system are adhered to. This includes, but is not necessarily limited to insuring completeness, consistency, and timeliness of Performance Appraisal Reports; regular preparation of Advance Work Plans and Evaluations of Potential; and enrolling new supervisors in training.

Employee Comments

Employees have the option of commenting on the supervisor's evaluation and/or the reviewer's comments in the Employee Comments Section of the Performance Appraisal Report form. If the comments represent a rebuttal to the evaluation of the supervisor or the reviewer, appropriate action must be taken to resolve the area of concern before the report is forwarded to the Office of Personnel. If possible, problems should be resolved at the rater or reviewer level. If this cannot be done, the appropriate Operating Official or a designee with authority to resolve the area of concern must review the case and certify in writing that appropriate action is being taken or that none is necessary. This procedure is not intended to result in voluminous documentation tracing the resolution of the problem. It is hoped that most areas of concern can be resolved informally and only the resolution itself made a matter of record.

Employees may also appeal their performance evaluations in accordance with the provisions of [REDACTED] Grievance Systems.

STATOTHR

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PREPARING THE PERFORMANCE APPRAISAL REPORT (PAR)

For specific instructions on each section of the report, rating and reviewing officers should refer to the instruction sheet accompanying the Performance Appraisal Package (Appendix A). The following points are provided as further guidance.

General

- ° There should be no surprises for the employee in the PAR. The rater must keep the employee informed throughout the year on what is expected and how well expectations are being met.
- ° Objectives and goals in the Advance Work Plan must be commented on in the PAR, either as specific duties, in the narrative comments section, or both.

Supervisor's Comments

- ° The first sentence of the narrative in reports on employees in the three-year trial period must recommend for or against continuation of employment.
- ° The PAR is a record of the performance of the individual, not the mission and functions of the office.
- ° Comments on behavioral traits and personality characteristics are appropriate only if they directly affect, either positively or negatively, the individual's performance of the job.
- ° Specific comments on required factors may be limited to those which are deficient or unusually proficient. A general statement on those which are considered satisfactory should simply indicate that the rater has reviewed them and they meet acceptable standards.
- ° Statements should be specific, i.e., not just what the employee did, but how and how well.
- ° The performance appraisal is for the entire rating period. Recent successes and failures should be considered in the context of total performance during the period covered.
- ° Comments should be limited to the space provided whenever possible.

Overall Rating

- ° Do not average the ratings of the specific duties. Some duties are more important, others less. Some aspects of performance are not addressed in the ratings of specific duties.
- ° The overall rating should support the combined picture reflected in the ratings of specific duties and in the narrative.
- ° The overall rating should consider every aspect of the employee's performance in its proper perspective and be an accurate reflection of the individual's total contribution.

Employee Comments

- ° Employee comments are optional.
- ° Often an employee feels strongly about commenting when there is disagreement with the PAR, i.e., in a rebuttal situation. The employee should be encouraged to think about it at least overnight. The employee should fully recognize that the comments will become a permanent part of the official record and probably should not be written under emotional stress until the issue has been carefully considered.

Reviewing Official Comments

- ° The reviewer must certify that the rater has covered all required points and that the ratings on specific duties, the overall rating, and the comments in the narrative are consistent. Any deficient or incomplete reports must be returned to the rater for corrective action before the reviewing official signs the report.
- ° The reviewer should provide substantive comment on the employee's performance whenever possible. If the reviewer has no first-hand knowledge of the employee's work, the comments should indicate that the reviewer's comments are based on another source of input, e.g., information from the rater, perceptions of customers who deal with the employee, etc.

PREPARING THE ADVANCE WORK PLAN (AWP)

The Advance Work Plan is an agreement between supervisor and employee on goals and priorities for the coming year. It summarizes the key elements and performance standards on which the employee will be rated in the Performance Appraisal Report. While these may not represent the entire range of the employee's responsibilities, they are the most important factors and indicate to the employee where effort must be concentrated. The Plan is completed at least annually and will be revised or amended to record any significant changes in the employee's duties and responsibilities or in agreed performance objectives during the year.

The Work Plan for the coming year will normally be prepared as a follow-up to the PAR for the past year. It will be retained by the office and subsequently attached to the PAR which reports on the employee's performance for the period of the Plan.

Employees should be directly involved, to the extent possible, in the development of the Advance Work Plan. Obviously new employees with little or no experience in the organization will have less input than experienced employees. It is also possible that a supervisor may develop an Advance Work Plan as part of corrective action for an employee who was rated very low on the last Performance Appraisal Report. Most Advance Work Plans, however, will be more meaningful documents if employees are involved in their development. When considering the pros and cons of employee participation, a few ideas are worth thinking about:

- The strongest motivation comes from within. An employee responds best to stimuli which are recognizable and considered acceptable. Participation in the development of performance criteria can help identify the best stimuli for that individual.
- No one knows a job better than the person who is doing it. The employee's opinion of the job and the criteria of good job performance is of value even if the individual is not doing exactly what is expected nor using the most efficient and productive methods.
- Employees normally want to know whether they are measuring up to expected standards and have a genuine interest in the development of performance criteria.
- Soliciting the employee's ideas on performance criteria helps develop better communication between the supervisor and the employee.
- The employee's concept of performance criteria can help reveal ambitions and developmental needs.

Examples of Things to Include in the AWP

Section A

Is it a line job or staff job?

Is it at the office, division, branch, or section level?

If a supervisor, is it first-line supervision or a higher level?

Is the job performed only in the individual's own office, or must the employee deal with other parts of the Agency?

Section B

- ° Objectives, goals, and priorities:
 - Projects or tasks related to a specific duty.
 - Goals to increase production of a product.
 - Contacts to be identified or developed.
 - Goals for improving job-related behavior, e.g., tardiness, interpersonal relationships with customers.
 - Training objectives to improve job performance or support other job-related goals.
- ° Performance standards for the accomplishment of objectives, goals and priorities:
 - Time - target dates, specified length of time.
 - Quantity - total number, number per hour (per day, month, etc.), percentage of a total.
 - Quality - number of errors acceptable, degree of acceptance by customers, depth of research.

N.B. An AWP can be prepared in increments during the reporting period and revised as situations change. It is not necessary to prepare a new AWP as revisions or additions become necessary. They should appear as add-ons to the original document.

A CHECKLIST FOR PERFORMANCE APPRAISAL INTERVIEWS

- I. The place should be:
 - ° Private -- borrow an office, if necessary.
 - ° Free from interruptions by people and telephones.
- II. The time should be:
 - ° Scheduled in advance -- set an appointment far enough ahead for both supervisor and employee to prepare for the interview.
 - ° Long enough for a meaningful discussion -- it may be shorter if the employee and supervisor work closely with each other on a daily basis, longer if they have had only occasional conversations during the year.
- III. Preparation should include:
 - A. For the supervisor:
 - ° Reviewing the Advance Work Plan for the past year
 - ° Reviewing the completed Performance Appraisal Report
 - Make sure the PAR has covered objectives in the AWP.
 - Make sure all required elements in the instructions have been covered.
 - ° Planning the agenda
 - How to get off to a good start.
 - How to balance praise and constructive criticism.
 - Deciding which key points need to be expanded on during the interview.
 - Considering any follow-up action which should be discussed.
 - Thinking about the Advance Work Plan to be prepared for the coming period.

B. For the employee:

- Reviewing the Advance Work Plan
- Considering how well or how poorly objectives were met and why.
- Thinking about the Advance Work Plan to be prepared for the coming period.

IV. The interview should include:

- A review and discussion of performance during the period being rated.
- A discussion of factors which contributed to or prevented success in meeting goals.
- A consideration of recent success or failure in context of total year's performance.
- Clarification of how both the supervisor and the employee see the performance.
- A forecast of the employee's role during the coming year.

TIPS FOR APPRAISAL INTERVIEWS

Suggestions for Supervisors

- ° Put the employee at ease. Don't be afraid to exchange a few pleasantries at first as long as the interview does not degenerate into a meaningless gabfest. Assure the employee that everything said will be kept confidential.
- ° Listen. Remember that the interview is to be a two-way communication. There is no point in a personal interview if one person is going to do all the talking; the same end could be accomplished with a letter!
- ° Don't interrupt. The employee may be just about to say something really significant. The appraisal interview should be an opportunity for the employee to review and discuss interests and goals.
- ° Avoid argument. Don't be afraid to state your views of the employee's performance, but also listen to the other side. You might get a new slant on the job and its requirements.
- ° Take a positive approach. Don't be afraid to praise good performance. Stress the employee's strong points, as well as pointing out deficiencies.
- ° Be constructive; suggest ways to improve in areas where the employee's performance is weak.
- ° Keep the focus on the job. You are concerned with how well the employee does the job, not with personality faults unless they directly affect job performance.
- ° Ask open questions. Questions that cannot be answered with a simple yes or no protect the employee from having to make a firm commitment until all aspects of the appraisal are out on the table. They can also provide more meaningful information about what the employee thinks and feels.
- ° Don't rush the employee out but conclude the interview when it has passed the point of diminishing returns. A good supervisor neither cuts short an interview which is contributing to the employee's development nor prolongs one which is simply wasting time.

A Few Suggestions for Supervisors in Corrective Action

- Keep the focus on the job and the employee's performance of it. Allow the employee to discover his/her weaknesses.
- Don't be afraid to use the knowledge you have gained of the different personalities of your employees. One individual may respond best to a frank and even tough approach to shortcomings; another may be psychologically destroyed by the same approach. Gear your criticism accordingly.
- Never dwell on a problem that has no solution; learn to accept the fact that all employees have certain personality quirks. Your job is not to change an individual's personality, but only to help get the job done better.
- Developing employees. Some people are content with what they are doing, and don't want to move up any further in the organization. Others, of course, are dissatisfied. One of the purposes of the interview should be to explore the employee's job satisfaction quotient or ratio of discontent. Even here, the mere fact that an employee is contented or discontented is only a start -- you must find out why.

FOLLOW-UP TO THE PERFORMANCE APPRAISAL REPORT

Performance appraisal is a continuous process, occurring throughout the year, as the supervisor and the employee set goals, select methods of operation, and evaluate results. The occasion of the formal annual (or special) written Performance Appraisal Report is a good time to summarize what has happened during the year, take corrective action where necessary, and reaffirm the process of ongoing supervisor/employee communication. The performance appraisal interview should end on a positive note to set the tone for the coming year. It is the time for a fresh slate for all employees, whether they are strong or weak performers, and the new Advance Work Plan, prepared after the PAR, should provide the framework.

The most common dilemmas at the end of a reporting period are what to do about the marginal performer and what to do about the outstanding performer. In either case, the most important question to ask is what motivated that kind of performance. Obviously in the case of the marginal performer, the supervisor will want to help the employee change the motivating forces. For the outstanding performer, the supervisor will want to help reinforce and perhaps expand the motivating forces. Each case will be different, but the following suggestions may be appropriate in dealing with your subordinate:

The Marginal Performer

- Identify some tasks which you know the employee can perform successfully to help preserve self-respect. Revise the Advance Work Plan for a shorter time period and closely monitor progress, adding responsibility as the individual demonstrates proficiency.
- Help the employee identify weaknesses and set goals for overcoming them.
- Provide closer supervision and continuous feedback.
- Consider whether or not remedial training is appropriate.

CAUTION: Not all marginal performers can be turned around. The supervisor should recognize that there may come a time when disciplinary action, perhaps leading to termination, is the only viable solution.

The Outstanding Performer

- Consider monetary rewards and special recognition -- promotion, quality step increase, special awards.
- Give the individual more control over responsibilities, e.g., less supervision, greater role in planning, representing own work to senior management.
- Give the individual responsibility for training or supervising others.
- Consider whether or not a new job with greater breadth and responsibility is appropriate.

CAUTION: Just because an employee is an outstanding performer in the current job doesn't mean that a change is appropriate or desired. Changes such as those listed above, if unwanted by the employee, may be counter-productive. The employee must play a major role in deciding what will follow an outstanding PAR.

An employee may be an outstanding performer but be at the top of the grade for the discipline. Rewards other than promotion will have to be considered, unless the employee is willing and has the qualifications to change career paths.

PREPARING THE EVALUATION OF POTENTIAL

: "Potential for what?"

That is the first question that must be asked before preparing an Evaluation of Potential. The Agency defines this evaluation as an assessment of the employee's readiness or potential to assume higher levels of responsibility. Sometimes performance is a good indicator of potential, but not always. The supervisor must bear in mind that not all jobs offer the opportunity for an employee to demonstrate readiness to assume a higher level of responsibility, even though the employee may be performing very well. Conversely, a job may offer many opportunities for the employee to demonstrate potential, but the employee has to struggle to meet the basic requirements of the job. This same employee may, however, demonstrate a high level of potential if moved to another job.

These are two extreme examples, but they illustrate that potential can be a tricky quality to evaluate. It is for this reason that the Evaluation of Potential should be based on direct observation and limited to the supervisor's own field of expertise. If the qualities which would indicate a capacity for growth and advancement were not observable during the rating period because of the nature of the job, the supervisor should not attempt to predict or anticipate the employee's ability to handle higher level responsibilities. Unless an employee is already selected for an existing or projected vacancy, it is not a good idea to evaluate an employee's potential for a specific job. Similarly, it is not advisable to talk in terms of promotions to specific grade levels. In both assignments and promotions, the supervisor usually has limited control over the outcome and, therefore, should not lead the employee to expect specific rewards to follow comments made in an evaluation of potential.

If it appears that the employee has the potential to assume higher level responsibility outside the current discipline, the supervisor should discuss this with the appropriate Career Management Officer. Career Management Officers and evaluation panels also have the responsibility for reviewing the employee's record in broader career terms, e.g., potential for higher responsibility, including consideration of possible assignments outside the current discipline, if they appear appropriate in light of the employee's cumulative performance record and supervisors' assessments of potential in the fields in which the employee has served to date.

An Evaluation of Potential must be completed whenever a Performance Appraisal Report is required. The following are examples of qualities which may be appropriate in explaining supervisor's judgment of the employee's potential:

- Demonstrates leadership qualities.
- Requires detailed direction and close supervision.
- Thinks quickly on his/her feet.
- Prefers not to train or direct others.
- Always exceeds the minimum requirements of the current job without direction from the supervisor.
- Is eager to take on new tasks or try new ways of performing old ones.

Examples should be given of how and under what circumstances the employee demonstrated the qualities which are indicative of potential, or the lack thereof. Evaluation must be supported by facts.

A P P E N D I X

WHERE TO GO FOR ASSISTANCE

Administrative and Procedural Questions

Performance Appraisal Package Instruction Sheet
Performance Appraisal Handbook
Component Personnel or Administrative Officer

Training in Performance Appraisal

CIA Self-Study Center
Office of Training
Performance Appraisal Workshop
(Performance appraisal is covered as a topic in several other
OTR courses. Contact your training officer.)

Advice and Assistance on the Content of a Report

Chain of Command
Component Personnel or Administrative Officer
Component Career Management Officer

Where to Refer an Employee for Additional Counseling

Chain of Command
Component Personnel or Administrative Officer
Component Career Management Officer
Evaluation Board Representative (if applicable)
Grievance or EEO Counselors
Staff Personnel Division, Office of Personnel

Special Problems

Occasionally performance problems are caused or aggravated by personal problems. Because of the sensitive nature of any personal problem, consult your supervisor and component personnel officer before referring an employee on the basis of any problem listed below.

<u>Problem</u>	<u>Office of Assistance</u>
Health (employee or family) - includes alcoholism, drug abuse, physical or mental health problems.	Office of Medical Services
Financial	Credit Union Personal Affairs Branch, Office of Personnel
Legal	Office of General Counsel

SECTION A

GENERAL INFORMATION

1. SOC SEC NUMBER	2. NAME (last, first, middle)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. HQS
11. REPORTING PERIOD		12. DATE REPORT DUE IN OP		13. TYPE OF REPORT

SECTION B

QUALIFICATIONS UPDATE

QUALIFICATIONS UPDATE FORM BEING SUBMITTED WITH CHANGES, AND IS IT ATTACHED TO THIS REPORT?

YES

NO

SECTION C

SPECIFIC DUTIES

List in order of importance the specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised). Definitions of ratings to be used are found in Section E of this form. See directions for completing performance appraisal package form 45i for additional guidance.

SPECIFIC DUTY NO. 1	RATING NUMBER
SPECIFIC DUTY NO. 2	RATING NUMBER
SPECIFIC DUTY NO. 3	RATING NUMBER
SPECIFIC DUTY NO. 4	RATING NUMBER
SPECIFIC DUTY NO. 5	RATING NUMBER
SPECIFIC DUTY NO. 6	RATING NUMBER

SECTION D

COMMENTS AND CERTIFICATION

1. SUPERVISOR'S COMMENTS

AMPLIFY OR EXPLAIN the individual ratings given for specific duties in Section C. Indicate significant strengths or weaknesses demonstrated and any suggestions made for improvement of work performance. Give recommendations for training. See attached instructions for required comments on: Cost Consciousness, EEO, Safety, Security, and Evaluation of supervisors, etc.

2. OVERALL PERFORMANCE RATING

The overall performance rating should take into account everything about the employee which influences effectiveness. See attached instructions for details.

RATING NUMBER:

3. SUPERVISOR CERTIFICATION

MONTHS EMPLOYEE HAS BEEN
IN THIS POSITION _____MONTHS UNDER MY
SUPERVISION _____

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION.

INTERIM DISCUSSION(S) ABOUT WORK PLAN PROGRESS _____ WAS/_____ WAS NOT HELD. (Check one)

IF

TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

Individual Duty

1. Individual consistently fails to meet the established work standards for the duty or task performed. Performance is unsatisfactory.

2. Individual frequently fails to meet the work standard for the duty or task performed. Performance is marginal.

3. Individual occasionally fails to meet the work standard for the duty or task performed. Performance is acceptable.

4. Individual fully meets the work standards for the duty or task performed.

5. Individual occasionally exceeds the established work standard for the duty or task performed. Performance is good.

6. Individual frequently exceeds the established work standard for the duty or task performed. Performance is excellent.

7. Individual invariably exceeds the established work standard for the duty or task performed. Performance is superior.

Overall Performance

Performance does not meet all established work standards for the position and specifically demonstrates the individual's failure to meet one or more important job requirements (e.g., doesn't complete work; lacks the necessary knowledge, skill, or ability to do the job properly). Performance is unsatisfactory.

Performance frequently does not meet all established work standards for the position and reflects a significant problem relating to the individual's suitability for continued assignment in the job (e.g., seldom completes work assignments without strong support; work products or services are often faulty and incomplete). Performance is marginal.

Performance generally meets established work standards for the position but characteristically needs improvement in a specific area or on occasion falls somewhat short of satisfying all job requirements (e.g., inconsistent work effort in meeting deadlines; quality of work product or service sometimes needs to be improved). Performance is acceptable.

Performance meets all established work standards for the position and attests to a satisfactory level of job-related knowledge, skill or ability (e.g., does what is expected; reliable and dependable, a typical performer).

Performance occasionally exceeds established work standards for the position and is generally of higher quality than is required to do the job satisfactorily (e.g., generally produces a better than average product or service; reveals a good level of knowledge, ability and skill in satisfying work requirements). Performance is good.

Performance frequently exceeds established work standards for the position and shows that the individual's level of job-related knowledge, skill, and ability is highly developed (e.g., functions with ease in satisfying work requirements, producing a high-quality product or service). Performance is excellent.

Performance invariably exceeds established work standards for the position, and is characterized by extraordinary proficiency suggestive of one expert at doing the job (e.g., highly efficient performer, one who demonstrates impressive knowledge, skill and ability in his or her work performance). Performance is superior.

PERFORMANCE APPRAISAL REPORT

GENERAL INFORMATION

1. SOC. SEC. NUMBER	2. NAME (LAST, FIRST, MIDDLE)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. MOS
11. REPORTING PERIOD	12. DATE REPORT DUE IN OF		13. TYPE OR REPORT	

4. EMPLOYEE COMMENTS (Optional)

THE EMPLOYEE HAS THE OPTION TO PROVIDE A SELF APPRAISAL OF PERFORMANCE, AND TO COMMENT OR NOT ON THE SUPERVISOR'S EVALUATION AND/OR THE REVIEWER'S COMMENTS.

I CERTIFY THAT THIS REPORT WAS DISCUSSED WITH ME BY MY SUPERVISOR.	DATE	SIGNATURE OF EMPLOYEE
--	------	-----------------------

5. REVIEWING OFFICIAL COMMENTS

COMMENT OF REVIEWING OFFICIAL.		
DATE	TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE
I CERTIFY THAT I HAVE READ THE REVIEWER'S COMMENTS.		SIGNATURE OF EMPLOYEE

SECTION A

GENERAL INFORMATION

1. SOC. SEC NUMBER	2. NAME (last, first, middle)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. MOS
11. REPORTING PERIOD		12. DATE REPORT DUE IN OP		13. TYPE OR REPORT

EVALUATION AND COMMENTS MUST BE LIMITED TO DIRECT OBSERVATION OF PERFORMANCE AND BE WITHIN THE SUPERVISOR'S AREA OF EXPERTISE. THE EVALUATION IS AN ESTIMATE OF THE INDIVIDUAL'S POTENTIAL TO ASSUME ADDED RESPONSIBILITY.

SECTION B

EVALUATION

CHECK ONE:

- _____ THE ASSIGNMENT DURING THIS RATING PERIOD DID NOT OFFER THE OPPORTUNITY TO EVALUATE READINESS TO ASSUME HIGHER LEVEL RESPONSIBILITY. EMPLOYEE IS RENDERING A VALUABLE CONTRIBUTION.
- _____ READINESS TO ASSUME HIGHER LEVEL RESPONSIBILITY CAN BE DEMONSTRATED IN THIS ASSIGNMENT. THE READINESS OF THIS INDIVIDUAL, AS OBSERVED IN THE PERFORMANCE DURING THIS RATING PERIOD, CAN BEST BE DESCRIBED BY THE FOLLOWING STATEMENT:
- _____ EMPLOYEE APPEARS TO LACK THE CAPABILITY TO ASSUME HIGHER LEVEL RESPONSIBILITY.
- _____ IT IS DIFFICULT TO JUDGE WHEN THE EMPLOYEE MAY BE READY TO ASSUME A HIGHER LEVEL OF RESPONSIBILITY. EMPLOYEE HAS ROOM TO GROW WITHIN THE SCOPE OF RESPONSIBILITIES OF THE PRESENT JOB.
- _____ EMPLOYEE PERFORMS THE FULL RANGE OF RESPONSIBILITIES IN THE CURRENT JOB AND WILL BE READY TO ASSUME HIGHER LEVEL RESPONSIBILITY WITH APPROPRIATE TRAINING AND EXPERIENCE.
- _____ EMPLOYEE IS READY TO ASSUME HIGHER LEVEL RESPONSIBILITY.

SECTION C

SUPERVISOR'S COMMENTS

EXPLAIN YOUR CHOICE ABOVE. STATE THE QUALITIES OF WORK PERFORMANCE THAT BEST DEMONSTRATE READINESS FOR GROWTH AND ADVANCEMENT, OR THE LACK THEREOF, SUPPORT WITH EXAMPLES.

SECTION D

CERTIFICATION

TYPED OR PRINTED NAME OF SUPERVISOR	SIGNATURE	DATE
SIGNATURE OF EMPLOYEE		DATE

GENERAL INFORMATION

1. SOC SEC NUMBER	2. NAME (last, first, middle)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. HQS

EMPLOYEES' JOB—STATE BRIEFLY WHERE THE POSITION FITS IN THE STAFFING PATTERN AND, IF APPROPRIATE, THE NUMBER AND TYPE OF EMPLOYEES SUPERVISED BY THIS EMPLOYEE.

WORK OBJECTIVES, GOALS AND PRIORITIES—LIST THE SPECIFIC OBJECTIVES AND GOALS, IN PRIORITY ORDER, FORMULATED BY THE SUPERVISOR AND THE EMPLOYEE.

DD COVERED _____ (To be attached to the PAR for this period.)

SIGNATURE OF EMPLOYEE (Name typed)

SIGNATURE OF SUPERVISOR (Name typed)

DATE

TITLE

DATE